



Confidential Planning Kit

Client Name: _____

Client Name: _____

Date: _____

Personal Background Information

Names & Ages:

Individual 1

Individual 2

First Name, Middle Initial		
Nickname		
Last Name		
Birth Date		
Social Security Number		
Mobile Number		
Home Number		
Email Address		
Preferred contact method		

Employment:

Individual 1

Individual 2

Employer		
Duties/Title		
Work Address		
City, State, Zip		
Work Phone	() -	() -

Do you own 5% or more of your employer? ___ No ___ Yes :_____%

Family Members

First, Middle, Last	Dependent	Relationship	dob	SS #	Beneficiary		
					Primary	Contingent	None
					Primary	Contingent	None
					Primary	Contingent	None
					Primary	Contingent	None
					Primary	Contingent	None
					Primary	Contingent	None

Do you want to plan for any educational needs? _____

Do you need to plan for any special needs family? _____

Financial Objectives

	<<Low			High>>	
Reducing income taxes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Protection from inflation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Maximum investment growth potential	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Current spendable income from assets	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Liquidity (convert assets to cash)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Note: Place a mark in the circle closely representing the financial objective for each of the above statements.

Estate Planning

What provisions have you made for your estate?	Individual 1	Individual 2
Last Will & Testament		
Power of Attorney		
Health Care Power of Attorney		
Trust		

Are you the primary or secondary personal representative in anyone's estate plan? _____

Investment Comfort Zone

Please follow the link to take the comfort zone quiz. One for each investor please.

Simply scan the QR barcode with a cellphone or you can visit <https://www.dandreafinancial.com/comfort-zone> and take it there.



This material is not intended as an offer or solicitation for the purchase or sale of any security or financial instrument. It is intended to gather important information designed to better assist with your financial planning process. It is distributed with the understanding that it is not intended to render accounting, legal or tax advice. Please consult your legal or tax advisor concerning such matters, as needed, to answer the following questionnaire.

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Document Checklist

Please take the time to compile the documents listed below. We realize your schedule is hectic; however, major benefits can result from making this initial effort. As always, the privacy of your information will be respected and kept confidential. Please provide copies and retain your originals. As an added convince, we can scan original documents, if you wish.

- Federal & State income tax returns including W-2's (2 most recent years)
- Pay stubs for you and your spouse (2 most recent)
- Most recent investment statements
- Recent bank statements (Checking, Savings, CDs, Money Market)
- Retirement account statements (Most recent quarter & month end statements)
 - 401(k), 403(b), 457(b), Tax Deferred Annuity, Tax Savings Plan, Etc.
 - Summary Plan Description (Ask your HR Department for this)
 - IRAs (Traditional, Rollover, Roth, Simple, SEP, etc)
 - Deferred compensation arrangements
- Pension statements and/or booklets with pension formula
- Most recent Social Security statements
- Other investments (Most recent quarter end and month end statements)
 - Limited Partnerships or closely-held business
 - Investment Real Estate (estimated appraised value)
 - Direct Participation Programs (DPPs)
 - Annuities (fixed and variable)
- Recent Mortgage statements (1st, 2nd, Home Equity Line)
- Other debt statements (Car loan, credit card, student loan, etc)
- Insurance statements or declaration pages (Auto, Home, Life, Disability, etc)
- Current wills, trust documents, buy-sell agreements & other legal documents
- Copy of Driver's License, State Identification, or Passport
- Voided check of primary checking account